

MEASURING OFFICER POTENTIAL USING THE OER

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General Studies

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ABSTRACT

MEASURING OFFICER POTENTIAL USING THE OER, by MAJ Derrick G. Jackson, 75 pages.

The thesis seeks to answer the primary question, “Does the Army effectively capture an officer’s potential for promotion, command, or future assignments using the OER as the document of record?” The research applies grounded theory to examine and analyze previous research and studies conducted on the effectiveness of the Officer Evaluation Reporting System. The thesis concludes with a recommendation to change the criteria that senior raters should use to evaluate an officer’s potential. The research found that senior raters need a more precise definition for potential. Additionally, the research will show the benefit of using the Army’s Leadership Requirements Model to measure officer potential.

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ACRONYMS

ADP	Army Doctrine Publication
ADRP	Army Doctrine Reference Publication
AER	Academic Evaluation Report
AR	Army Regulation
ATLDP	Army Training and Leader Development
CAL	Center for Army Leadership
CASAL	CAL Annual Survey of Army Leadership
CRSA	Civil Service Reform Act
DA PAM	Department of the Army Pamphlet
ERS	Evaluation Reporting System
HQDA	Headquarters Department of the Army
HRC	Human Resource Command
LRM	Leadership Requirements Model
OER	Officer Evaluation Report
OERS	Officer Evaluation Reporting System
OES	Officer Evaluation System
OMPF	Official Military Personnel File
OPMS	Officer Personnel Management System
PME	Professional Military Education
USAWC	United States Army War College

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CHAPTER 1

INTRODUCTION

One of the difficulties in bringing about change in an organization is that you must do so through the persons who have been most successful in that organization, no matter how faulty the system or organization is. To such persons, you see, it is the best of all possible organizations, because look who was selected by it and look who succeeded most within it. Yet these are the very people through whom we must bring about improvements.

— George Washington
2nd Inaugural Address

Overview

The purpose of this study is to identify how effective the Army's method of assessing and documenting an officer's potential is. The research considers the ranks of major through colonel. Recently, the Army introduced an updated version of the Officer Evaluation Report (OER) designed for better accuracy in evaluating an officer's potential where the senior rater has the sole responsibility to assess and document a subordinate's potential. This research will look at how the Army mandates senior rater responsibilities for assessing and documenting the potential of an officer using the OER. In addition, the research considers the three areas that the OER aids with during certain Department of the Army selection boards. This research will also attempt to determine if the OER is the best method for assessing and documenting officer potential, if other methods are better suited, or if the method needs more change and refinement.

When the Army released a newer version of the OER there were multiple changes implemented for the new Officer Evaluating Reporting System (OERS). For instance, the rater's accountability for assessing performance increased with the creation of a rater

profile. This new profile mirrors the rules that guide the senior rater profile and restricts raters to only giving forty-nine percent of the officers they rate an EXCELS block check. The new series of evaluation reports also puts greater emphasis on the senior rater's assessment of an officer's potential. This is a change from the old requirement that senior raters assess and provide comments on potential along with comments relating to the officer's performance. Lastly, the new officer evaluation report requires raters to focus more on the evaluation of leadership attributes and competencies. This research seeks to understand if the new OER creates a more effective system to evaluate an officer's potential, and answer the question, "Does the Army effectively capture an officer's potential for promotion, command, or future assignments using the OER as the document of record?"

The implementation of the new OER and evaluation reporting system indicates an awareness of the Army's need to get better at how it evaluates officers and puts the best officer in the right position at the right time. In a 2010 interview with General Dempsey, Chief of Staff of the Army, he expressed the need for a revised evaluation report and in how the Army conducts promotion boards (Prism 2010, 3). As the new OER was published and pushed to the field, Major General Mustion, Commander of Human Resource Command, personally travelled to different Army installations to brief leaders on the changes with the new OER and what it meant going forward to the force as a whole. Clearly, the Army's senior leaders saw an inherent problem with the way the Army was using the OER to make important selection decisions, and attempted to make the necessary needed changes. However, while the new evaluation reporting system does increase rater and senior rater responsibility and accountability, does the new OER

improve the assessment of potential so the Army can make better talent decisions in the future..

Primary Research Question

Does the Army effectively capture an officer's potential for promotion, command, or future assignments using the OER as the document of record? To answer the primary question, there are three secondary questions the research seeks to answer.

Secondary Questions

Secondary questions that this research will attempt to answer are:

1. How to measure potential?
2. Should potential be measured against leader competencies as outlined in Army Doctrine Publication (ADP) 6-22?
3. Is the senior rater the right person to articulate potential?

Assumptions

Department of the Army Pamphlet (DA PAM) 600-3 discusses proposed career timelines for officers in the grades of lieutenant to colonel as it relates to each specific branch in the Army. The assumption is that senior raters are adhering to the guidance found in DA PAM 600-3 that says, "Senior raters must ensure that they fairly and honestly articulate an officer's abilities, performance, and potential for service in increasingly complex and higher echelon organizations" (Department of the Army 2014d, 63).

The pamphlet also provides a description of the competencies expected of an officer and explains how senior raters are to assess these competencies. DA PAM 600-3

states that senior raters are to rate officers based on the Army's Leadership Requirements Model, which outlines core competencies that all leaders across the Army, regardless of branch, should possess. It also states that senior raters will remain the principle agent that provides an assessment of an officer's potential.

In addition, based on DA PAM 600-3 and the implementation of the new officer evaluation form, it is safe to assume that this form will continue to be the primary document that promotion board members will base their judgment on. As a subsystem of the Officer Personnel Management System (OPMS), the assumption is that the OER will continue to affect promotions, school selection, functional designation, and command and key billet selection as stated in DA PAM 600-3. The design of the new OER and process aims to prevent inflated ratings from occurring. By making two-star level units and below have their respective rating schemes approved by the next higher command, the assumption is that rating scheme integrity and the prevention of "pooling" officers will cease. It is also assumed that the new OERS will help to hold the rating chain accountable to officers they are rating.

Definition of Terms

A number of terms require definition. The following terms defined below help provide clarity to the research topic.

Effectiveness: For the purpose of this thesis, effectiveness is the degree to which an evaluation reporting system is successful in assessing potential for retention, promotion, command, and future assignments.

Evaluation Reporting System: Encompasses the means and methods needed for developing people and leaders. Identifies Soldiers who are best qualified for promotion

and assignment to positions of greater responsibility. Combines major elements of counseling, assessment, documentation, and integration with other personnel functions to meet the needs of the Army, rating officials, and all rated Soldiers in their current environments.

Leadership Requirements Model (LRM): Conveys the expectations that the Army wants leaders to meet.

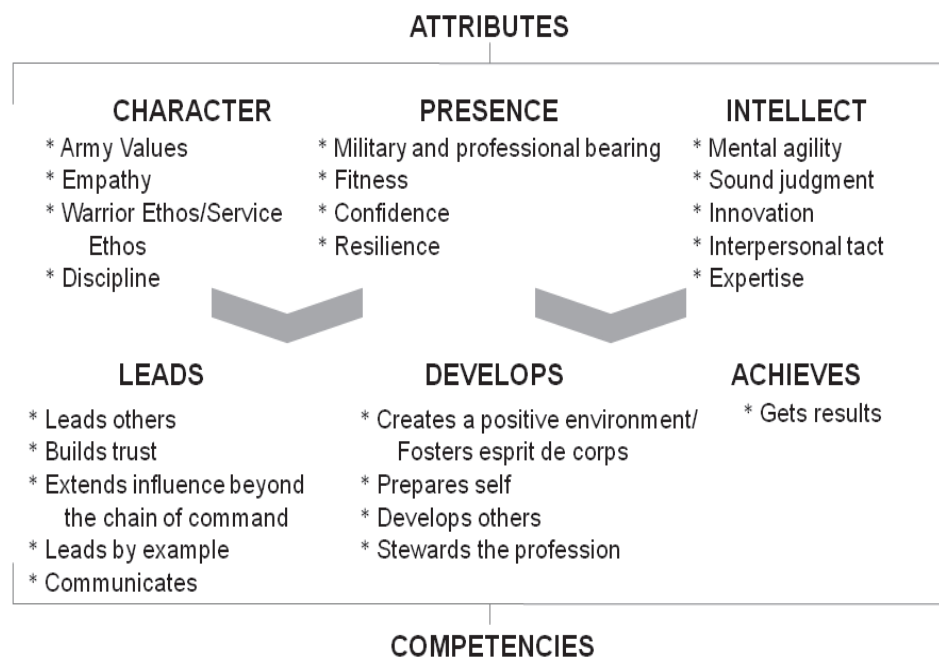


Figure 1. Leadership Requirements Model

Source: Department of the Army, Army Doctrine Publication (ADP) 6-22, *Army Leadership* (Washington, DC: Department of the Army, 2012), 5.

OER: Officer Evaluation Report. The official document of the Army to document an officer's performance and potential for promotion, specific assignments (command), and advanced educational opportunities. The most recent revision created four versions of

the OER: Company Grade (O1-O3; WO1-CW2), Field Grade (O4-O5), Strategic Grade (O6), and Strategic Grade (O7). What was once only DA FORM 67-9 is now DA FORM 67-10-1, 67-10-2, 67-10-3, and 67-10-4 respectively.

OES: Officer Evaluation System: A system designed to identify those officers most qualified for advancement and assignment to positions of increased responsibility. Under this system, an officer's evaluation derives from his or her performance and potential through duty evaluations, school evaluations, and HQDA evaluations (both central selection boards and HRC officer management assessments).

OERS: Officer Evaluation Reporting System: A subsystem of officer evaluations. The primary function of OERS is to provide information from the organizational chain of command to decision makers at Headquarters Department of the Army (HQDA) for officer personnel decisions.

Performance Appraisal: The process of obtaining, analyzing, and recording information about the relative worth on an employee. Performance appraisal is necessary to measure the performance of employees and the organization to check the progress towards the desired goals and aims.

Pooling: Deviating from the rating chain guidance in AR 623-3 in order to provide an elevated assessment protection for a specific group.

Potential: An assessment of the rated officers ability, compared with that of other officers in the same grade, to perform in positions of greater responsibility and/or higher grades.

Limitations

This research is limited by the amount of time to conduct the actual data gathering and analysis. This time restriction hindered the ability to access some information and/or data that could have benefited the research efforts. Another limitation is the researcher's inexperience in conducting original research under a formal construct or methodology. In addition, the ability to gain significant information regarding the process in which the Army measures potential is limited to past examples, surveys, literature reviews, and studies that have been conducted on this particular research topic.

Scope of Delimitations

This research will only consider the effectiveness of the assessment and documentation of officer potential in the ranks of major through colonel. It will look at how senior raters assess and evaluate an officers potential using the OER as the document of record. This research will not look at the Army's non-commissioned officer corps or junior officers in the grade of captain and below. In addition, the research will not consider sister service methods and best practices and how the Navy, Air Force, and Marines measure officer potential.

Though related, talent management, as a function of the Officer Personnel Management System, receives only a brief discussion during this research. Though the Officer Evaluation System does deal with talent management in some regards, the research focuses on how senior raters and other decision makers use the OER in the process of assessing and documenting potential according to Army doctrine and guidance.

Significance of Study

The significance of this study is to look at how officer potential is assessed and documented and if the current method is effective. It will also attempt to determine if the Evaluation Reporting System (ERS) aids to create an effective process that helps determine an officer's potential for promotion, assignments, or future assignments. This study will look at the fairness and objectivity required by senior raters as they observe and ultimately make honest and professional judgment on an officer's potential during the evaluation cycle.

The results of this study should provide recommendations for improvement in the process where necessary. It should also result in more research conducted for those interested in pursuing the topic further. This research does not attempt to disprove the Army's current method of evaluating an officer's potential, but aims to provide insight into the effectiveness of the current method in use.

Chapter Summary

This chapter provided an overview of the research topic and a brief discussion of the primary and secondary research questions. In addition, this chapter makes some assumptions regarding the OER and its use to measure potential. This chapter also provides a short list of defined terms along with the research limitations, scope of limitations, scope of delimitations, and the significance of this research study.

In early 2014, the Army adopted a new officer evaluation report distinctly designed to capture the performance and potential of an officer based on their past performance and the characteristics expected for the officer in the grade they currently hold. Department of the Army centralized promotion selection boards will continue to

use the OER when determining if an officer is capable of serving at the next higher rank. In addition, OERs will continue to help decision makers determine whether an officer is a likely candidate for command opportunities. The question this research hopes to answer is if the OER effectively meets one of its intended purposes—accurately reflect an officer’s potential for promotion, command, or future assignments.

The next chapter will provide a literature review that attempts to answer the primary research question. It will also provide a brief review of the literature that pertains to performance appraisals in the civilian sector. Additionally, it will review some of the literature and Army doctrine on the Evaluation Reporting System.

CHAPTER 2

LITERATURE REVIEW

A word of encouragement from a leader can inspire a person to reach her potential.

— John C. Maxwell

Purpose

The purpose of this literature review is to answer the primary research question, “Does the Army effectively capture an officer’s potential for promotion, command, or future assignments using the OER as the document of record?” In addition, this literature review looks at the private or civilian sectors with the intent to identify any methods or procedures used by the civilian sector that the Army can incorporate into its own methods. Finally, the purpose of this literature review is to identify and discuss work that either supports or disapproves the primary research question.

It is important to note how the Army evaluates an officer's potential. Currently, the primary way the Army meets this requirement is through the subjective judgment of the officer's senior rater evaluation on the OER. Army regulation states that one of the duties required of an officer’s senior rater is the accurate and fair assessment of an officer’s potential using the OER. The Army entrusts senior raters with this responsibility and expects them to provide a fair and honest assessment. This research will look at three areas that the OER should help decision makers with in regards to certain circumstances where the result is the best officer for selection. It will also look at and determine if the OER is the best method or if other methods are required and would be more useful.

This chapter's organization consists of two parts. First, the literature review considers some of the literature and research of others conducted on the civilian sector and Department of the Army Civilian performance appraisals. This particular section of the literature review focuses on civilian performance appraisals. In addition, it considers how performance appraisals are currently being used to rate civilian employee potential based on performance standards established at the beginning of the rating cycle.

The second part of the literature review will show how the Army measures potential using the OER. In addition, this particular section of the literature review will cover Army doctrine and regulations as they relate to the Officer Evaluation System. Next, this section will provide a brief discussion on the Army's Leadership Requirements Model as well as provide a quick look at the Army's talent management efforts. The research will show some of the similarities between the civilian performance appraisal system and the Army's OER system. The literature review will also explain how the Army currently uses the OER to document an officer's potential for promotion, assignments, and educational opportunities according to Army doctrine and regulations.

Performance Appraisals in the Civilian Sector

The research considers performance appraisals in the civilian sector to determine if there are methods within the civilian sector the Army can incorporate into its evaluation system. This section will discuss how performance appraisals in the civilian sector help to provide supervisors a way to assess and document a civilian employee's potential. Key in a civilian employee's assessment is that performance measures established at the beginning of the rating cycle help provide measures of effectiveness. Research shows that in order to evaluate a person's potential for a myriad of future

benefits, an evaluation or assessment of past performance via a performance appraisal is the method used in the civilian sector.

A performance appraisal is necessary to measure the performance of the employees and to check the progress of the organization towards the desired goals and aims (Fernandes and Pithadia 2012, 1001). Fernandes and Pithadia, also claim that the performance appraisal is the process of obtaining, analyzing, and recording information about the relative worth of an employee. Appraisals help to identify both weaknesses and strengths of an individual to help improve performance and potential (Fernandes and Pithadia 2012, 1001). Therefore, in a sense, performance appraisals have the same goal of the OER. Both are means to help identify the potential of an individual. In the past, studies on the effectiveness of performance appraisals are numerous and provide a better understanding of the actual process of how rate employees. This paper will not address the numerous techniques and methods available that suggest how to conduct an actual civilian employee performance appraisal. The intent of discussing performance appraisals is to highlight their respective purpose.

The purpose of the performance appraisal by most organizations is for making decisions regarding its employees. This is true for both the civilian and military sectors. For example, performance appraisals in the civilian workforce help make decisions such as selection, training, and compensations (Lee and Cynthia 1985, 325). Since performance appraisals provide the input that decision-makers use to decide employee benefits, they must be accurate and objectively measured. Martin and Bartol state, “The performance appraisal should be based on the specific tasks the employee accomplishes or fails to accomplish” (Martin and Bartol 1998, 223). Martin and Bartol also advocate

that the rating technique used should provide a measurement of the employee's job performance that is as accurate as possible (Martin and Bartol 1998, 224). Key point here is that the rating techniques used to evaluate an employee must be accurate and based on specific tasks.

Performance appraisals should not be subjective but based on a set of standards that give raters and senior raters' measures of performance and measures of effectiveness. In other words, employee's should have a complete understanding of the standards shortly after assuming a particular duty assignment and those standards should be addressed at multiple occasions before the actual performance appraisal is rendered. Taking it a step further, when measuring the effectiveness of a performance appraisal system, Martin and Bartol argue that the standards used should be specific, challenging, realistic, dynamic, understandable, consistent with the organizational goals and, when possible, measureable (Martin and Bartol 1998, 225).

The civil service appraisal process helps both the employee and the employer understand and agree on the requirements and expectations the employee must achieve. For example, it is very important to detail the duty description and expectations of a civil service employee so that there is no question as to the expectations and requirements expected of the employee. When it comes down to a supervisor providing an annual assessment, there should be no questions of whether the employee met or failed the documented expectations and job requirements.

In contrast, though structured, the Army's doctrine and instruction of evaluating officers has some inconsistencies. For example, as shown in table 2, due to the lack of performance counseling received by leaders, the assumption made is that subsequent

periodic counseling often does not involve a review of the standards initially discussed and agreed upon during the initial counseling. Many times the expectations and requirements discussed during the initial counseling conducted by the rater are not the same expectations and requirements the officer received during the initial counseling. In some cases, completely different measures of performances are what raters and senior raters assess officers against. In addition, if the designation to evaluate and document an officer's potential falls on the senior rater, the question then is how senior raters are rating an officer's potential?

How the Army Measures Potential: The Officer Evaluation Reporting System

The Army measures and assesses the potential of its officers for future assignments, promotions, or future assignments. The primary method for this assessment is the Officer Evaluation Report. The Army is replete with literature on officer leadership and developmental strategies but has a tremendous deficit on how it defines potential and how to measure and assess potential. The following provides a brief discussion that highlights what Army doctrine and regulations say about officer potential.

DA PAM 600-3 and the OERS

DA PAM 600-3 states that the Officer Evaluation System's purpose is to identify those officers most qualified for advancement and assignment to positions of increased responsibility (Department of the Army 2014c, 38). In addition, DA PAM 600-3 explains that the assessment of an officer's potential is a subjective judgment, and that this subjective judgment influences someone making a decision as to whether the officer has the potential to perform at a specified level of responsibility, authority, or sensitivity. The

same DA PAM states an “Officer’s potential is normally associated with the capability to perform at a higher grade, the potential for retention and increased responsibility within a specified grade” (Department of the Army 2014c, 38). However, is that potential assessed and captured effectively and is it always a fair and unbiased assessment? To answer this, the research looks at the Officer Evaluation Reporting System (OERS).

The OERS is a subsystem of the Officer Evaluation System (OES) and uses the Officer Evaluation Report (OER) to evaluate the performance and provide an estimation of the potential of an officer. Currently, the OER and the Academic Evaluation Report (AER) (received while attending Professional Military Education (PME)) are the primary documents used for promotion selection. DA PAM 600-3 states that the potential evaluation contained on the OER is a projection of the performance accomplished during the rating period into future circumstances that encompass greater responsibilities (Department of the Army 2014c, 38). In other words, an officer’s performance displayed during the rating period is the bases for measuring their respective potential. This evaluation covers a period that is usually equal in time of one year or less.

DA PAM 600-3 also states that the primary focus of the assessment is the capability of the officer to meet increasing levels of responsibility in relation to his or her peers (Department of the Army 2014c, 38). While this may appear sound and logical, the question is, what if all officers of the same rank have the potential to excel at higher levels of command for drastically different roles and responsibilities based on their future job description and associated task. The analysis section will discuss the inherent flaws in grouping all officers in an organization of the same rank in the same pool regardless of branch or function.

Personally witnessed, most evaluations are opposite of this Army guidance. More often than not, an officer's rater measures the officer's performance against implied and assigned tasks that the rater failed to review during subsequent counseling sessions. This creates problems when the officer is not aware of the implied tasks given by the rating officials until the evaluation report is complete. Many times an officer may only receive an initial counseling and no follow up counseling occurs. If periodic counseling fails to happen (Riley et al. 2014, viii), the rated officer may have limited knowledge on what areas they need to improve and ultimately become the reason the rating official gives for the substandard performance and resultant substandard evaluation report they give the officer. A quarter of leaders report only receiving formal counseling at rating time and another quarter indicate they never or almost never receive counseling (Riley et al. 2014, viii). In a subsequent chapter, this research will address this and other problems that cause many officers to distrust the system.

AR 623-3 and the Army's LRM

Important to note is that performance and potential assessments are linked, according to Army doctrine, to the Army Leadership Requirements Model (LRM) (Department of the Army 2014b, 3). The LRM lists the competencies expected of a leader in the Army (see Figure 1). AR 623-3 states, "Rating Officials assess a soldier's performance and potential against standards—the Army Leadership Requirements Model containing attributes and competencies the organization's mission and a particular set of duties, responsibilities, tasks, and objectives (Department of the Army 2014b, 3).

In addition, Army Regulation (AR) 623-3 states, "While standards or techniques may change, the Evaluation Reporting System (ERS) will continue to be the most

accurate and effective assessment tool and development system possible. It will accomplish its mission of developing people and leaders” (Department of the Army 2014b, 3).

AR 623-3 also states that the OER is to focus on officer’s duty performance, how well he or she performs their assigned tasks as related to the LRM. The same regulation also states that the evaluation is to provide a focus on potential as it relates to an officer’s ability to perform at the current and higher grade or rank. Lastly, as the governing doctrine for officer evaluations, AR 623-3 describes that performance and potential assessments by rating officials are extremely important factors when determining a leader’s potential compared to their peers. However, the Army is giving assessments on who is the best officer compared to his or her peers. Should the primary (and arguably the only) focus of the assessment and evaluation be based on their performance and ability to perform at the next higher grade as outlined in DA PAM 600-3?

Two questions arise from this guidance. The first is, is the OER (using subjective judgment as stated in DA PAM 600-3) the best method of capturing potential. The second question is, how does the Army ensure subjective assessments? In some cases, duty requirements, based on the officer’s branch, can be dramatically different in scope depending on the organization and job assignment held at the time. For example, should a Signal major and Infantry peer have their potential compared against each other for the next higher rank and increased responsibilities, considering both will require different technical and tactical competencies? Though this method has been accepted for many years, the question has to be asked if the reason why some officers decide to quit serving the Army is related to unfair evaluations received from senior officers. It is common

belief that Army promotion board members give additional weight to the comments and block checks provided on an officer's potential as reported by the officer's senior rater. These same senior officers may not really understand the specific requirements that an officer must achieve and execute by the very nature of the branch that they belong to. Yet each board member, from his or her own respective branch, gets a vote in the selection or non-selection of that officer. Could it be that the problem is bigger than just the evaluation system and actually reflect a problem with the OER and evaluation process itself? To better and more accurately reflect the performance and potential of officers, the Army created a new series of evaluation reports as a way to improve on the method of evaluating officers.

The result of the newly designed form is to provide a better depiction of the potential an officer has when being considered for personnel actions such as promotion, functional designations, retention in grade, eliminations, retention on Active Duty, command and project manager designation, school selection, and assignment. The restructured OER comes with the expectation that it will encourage the professional development of the officer corps through structured performance and developmental assessment and counseling. Though hard to measure during its infant stage, the effectiveness of this one document on the Army's ability to retain and promote the most talented officers remains a task that requires detailed scrutiny if the Army truly hopes to retain officers with the most potential.

A New Series of OERs

The Army restructured the Officer Evaluation Form, DA FORM 67-9, and designed a new series of the OER. This new series highlights and documents an officer's

individual qualifications and potential and give senior rater's a more focused responsibility to assess an officer's potential. The new OER has four different versions – company grade (2LT-CPT), Field Grade (MAJ and LTC), Strategic Leader (COL), and General Officer (BG). This new evaluation system helps better recognize officer performance and potential according to the expectations of that officer in their respective grade slate. It creates a more coherent mechanism for identifying and documenting an officer's potential. The argument here is that just changing the evaluation report's format alone will not aid the systematic and fair approach to assessing an officer's potential. There needs to be some way of recognizing what specific skills sets needed for a certain job, a particular staff or command billet, or broadening assignment are needed of the officer. These skills sets ultimately can provide measures of performance and measures of effectiveness for both raters and senior raters. More importantly, if the design of the evaluation report is to capture potential, which leads to better talent management, the question is how exactly will changing the form better aid this process. With inconsistent definitions of potential, and the lack of holding senior raters accountable, the assumption is that the new OER will not change the Army's current practices. Will promotion boards still heavily weight senior rater comments? What are assignment managers looking at when working to meet the directives of the Army Manning Guidance? Do assignment managers actually look at an officer's OERs when making a determination where to send an officer?

Talent Management

In his book, *Bleeding Talent*, Tim Kane says that the military has failed horrendously at retaining some of its best and most talented leaders and that the

underlying system of central planning that the Pentagon uses to manage its workforce is the root of the problem (Kane 2012, 238). Kane puts the onus mainly on the personnel system and its inability to manage officers. Kane believes that the method the military uses to determine an officer's potential is not adequate. In the case of the U.S. Army, this would be the use of the OER. During the time of his research, Kane notes, "For one reason or another, junior and midlevel officers-lieutenants, captains, and lieutenant colonels-are leaving the Army in droves" (Kane 2012, 289). In a survey, Kane conducted using West Point graduates from the classes of 1989-2004, he found that only 20 percent of the officers surveyed thought the Army does a good job matching talents with jobs and only 6 percent agreed that the Army does a good job at retaining the best leaders (Kane 2012, 2010). The conclusions drawn from his research proves that the OER and entire Officer Personnel Management System is not achieving its intended purpose. Though Kane conducted his research before the release of the current OER, he recognized that the OER did provide an opportunity for senior raters to document what they believe to be the potential of an officer. However, does the four sentences the senior rater chooses actually aid the selection boards when it comes time for promoting the right officers, deciding who commands, and who gets particular assignments?

Leader Development and the OER

In a 2004 United States Army War College (USAWC) Research Project, Lieutenant Colonel Scott F. Donahue addresses how the OER fits into the Army's leader development model and provides a conceptual framework for defining and assessing leadership potential for the Army's future force. In his research, LTC Donahue presents the findings of a two-year research effort conducted by the Center for Strategic and

International Studies (CSIS). The research identified, at the time, that “Present leader development and promotion systems, however, are not up to the task of consistently identifying and advancing highly competent leaders” (Donahue 2004, 6). Of note is the importance of the OER as a fundamental tool used as part of the Army’s leader development and promotion processes. In essence, if the Army’s method of selecting the right leader is not adequate, it ties back to the OER’s inability to provide accurate and effective insight into on officer’s potential.

LTC Donahue goes on to make mention of the OERS and that it is the cornerstone of the Army’s OES. He accurately states that OERS “largely determines the quality of the officer corps, the selection of future Army leaders, and the course of each officer’s career” (Donahue 2004, 9). At the time of his research, he mentions how the old OER replaced its “over-inflated and highly subjective predecessor” (Donahue 2004, 9). He then explains how senior rater accountability was the most revolutionary change made in the OER from DA Form 67-8 to DA Form 67-9. The DA Form then gave the senior rater the responsibility in evaluating a rated officer’s performance and potential. Fast forward to 2014 and the Army has once again attempted to get it right by further refining the responsibility of the senior rater.

The last point to make in LTC Donahue’s research is his indication that senior raters were indeed complying with how many top blocks they can give according to Army regulation. This is not a surprise since this requirement is mandated by HQDA and is something that senior raters are required to do. However, he notes that “it is erroneous to conclude the system is working and that senior raters are correctly identifying and assessing officers with strong leadership potential as regulatory conformity infers neither

senior rater quality and accuracy nor rated officer satisfaction, confidence, and trust” (Donahue 2004, 11).

Chapter Summary

The OER and the OERS will continue to function as the Army’s method of capturing an officer’s potential with the senior rater as the individual responsible for the assessment of that potential. This research will try to determine how effective this method has been. In addition, the research will attempt to determine if a more effective method is suitable.

Where the civilian sector focuses more on establishing standards and expectations of performance to hold the employee to, the Army allows the senior rater to provide an assessment on an officer’s potential as compared with that of his or her peers. As stated, Army doctrine lacks a true definition and guidance on how to accurately measure potential. While one regulation states that the assessment of that potential is subjective, another regulation states that potential relates to the attributes and competencies found in the Army’s Leadership Requirements Model. The following chapter will discuss the research methodology used to answer the primary question, “Does the Army effectively capture an officer’s potential for promotion, command, or future assignments using the OER as the document of record?” It will also outline how the research was constructed and executed. In addition, the following chapter will discuss the methodology used to answer the primary and secondary research questions.

CHAPTER 3

RESEARCH METHODOLOGY

Overview

The goal of this thesis is to answer the primary research question: “Does the Army effectively capture an officer’s potential for promotion, command, and future assignments using the Officer Evaluation Report as the document of record?” The research methodology used consists of four steps.

Step 1: Conduct a literature review of the Army leader development program, the Army Officer Evaluation Reporting System, the Army Officer Evaluation Reports (past and present), the Army’s Civilian performance appraisal system, and civilian evaluation programs.

Step 2: Review the effectiveness of the OER, as a tool, in capturing an officer’s potential.

Step 3: Conduct analysis on the pertinent data to identify trends and data points that would either confirm or deny the researcher’s general theory to help draw conclusions regarding the research.

Step 4: Present conclusions and recommendations.

The researcher used basic qualitative research using the grounded theory to generate a general explanation (a theory) about phenomena of interest, process, and action, based on, and shaped by observation (Trochim 2006). This research focused on the process and action of assessing and documenting an officer’s potential, specifically using the OER as the document of record.

The researcher also considered how performance appraisals conducted in the civilian sector of the Department of the Army helps to assess an employee's potential. Next, the research reviews the Army's method of using the OER, with respect to determining an officer's potential for promotion, command, or future assignments. Finally, the researcher reviewed the current method the Army uses to measure an officer's potential as it relates to the leadership attributes and competencies Army doctrine says leaders are to possess. The focus of the research centered on the ranks of major through colonel for this research.

The researcher's initial theory regarding the Army's effectiveness of using the OER to measure potential is that while the OER is completed and submitted on every officer, senior raters lack a shared understanding of what the Army desires in its senior leaders. Ultimately resulting in an inconsistent assessment of an officer's potential for service at all levels of the Army.

In addition, this chapter will review the data collection efforts / methods, and address research validity. The chapter will conclude with a brief summary of the topics and areas covered.

Data Collection

The data collected for this analysis derives from articles, books, websites, correspondence with the Army's Human Resource Command (HRC), and monographs on the subject. The researcher took a historical look at U.S. Army regulations, policies, and promotion board statistical data. The researcher drew upon discussion in the classroom of Army Officers and Civilians attending FY15 CGSOC class. Data collected from the researcher's personal experiences is also used. The discussions, personal

experience, and specific questions posed helped form the initial theory regarding the research topic.

Data Analysis

This study begins by gathering previous studies and surveys conducted on the use of the old OER. The research also considered why the Army created and published a new version of the OER. The research takes much of the data from Army doctrinal references and the limited number of official surveys that considered different aspects of the OERS and the role or effectiveness of the senior rater.

Important to note is that a new version of the OER along with updated accompanying doctrinal guidance created and implemented in 2014 aims at providing a more concise description of the senior rater's role during the evaluation period. Another goal of the new evaluation report seeks to address some of the issues with the previous OER form. Not only did it intend to correct senior rater malpractices (pooling), but it also explains that the senior rater is to make comments on potential only. In addition, the research tries to determine if the new OER results in a more effective method of assessing an officer's potential and if a more revised role and responsibility of both the rater and senior rater makes a difference in how effective the Army is in assessing and documenting an officer's potential.

Taking the surveys and reports previously conducted, the following table will examine the effectiveness or ineffectiveness of the entire Officer Evaluation Reporting System, and how selection boards and senior raters use the OER when making decisions. The table considers the three main usages of the OER within the OERS and gives a score to the consistency to which the form is used. For example, as indicated by table 1, the

research will consider how senior raters, when assessing and documenting an officers potential, use the OER. In addition, the table will show how often Department of the Army selection boards use the OER and senior rater comments on an officer's potential when making promotion selection decisions. The follow table will attempt to show, in chapter 4, how often the OER and senior rater comments on potential are used when assignment managers determine where an officer is assigned. This particular category only considers O4-O5 level officers as the majority of O-6 level officer assignments are nominative in nature. The table will use a point system of "1" through "3" to measure each of the above categories. A description of the point system is defined in chapter 4. The research will show how effective the OER is or is not in using senior rater comments on potential to promote the right officers, which officers receive selection for command, and which officers are selected for future assignments were the best-fit officer is necessary to put in the right job at the right time.

Table 1. OER Effectiveness

	1	2	3
Senior Raters			
Selection Boards			
Assignments (O-5 and below)			

Source: Created by author.

Threat to Validity

The research recognizes that there is a threat to validity and some selection bias involved in the research. Because the researcher is an Adjutant General Officer, there are passionate concerns with the use of the OER that may have caused some selection biases with respect to the research findings. A selection bias may also be prevalent because the researcher has dealt extensively with senior raters and managed multiple evaluations on a regular basis. As a witness to some of the pooling and other malpractices that occur by senior raters, there exist the potential to skew the data to fit the hypothesis. The researcher attempts to remain objective during the interpretation and analysis of the data presented because of the research.

Chapter Summary

Previous and current U.S. Army policy outlines and provides a framework for procedures that if followed; help senior raters assess an officer's potential. There has been some debate on the effectiveness of the method used and the result that occurs from this method. Though steps have been taken to give each officer a fair chance at proving their potential based on their performance, it still comes down to the senior rater comments and assessment of the officer's potential as compared to that of his or her peers. For majors, lieutenant colonels, and colonels, it is important to ensure that the Army gets it right when it comes to both grooming and selecting the "best fit" officer to lead at the senior officer ranks.

In the following chapter, a data presentation and analysis will show how effective or ineffective this system actually is or where further refinement is suggested. In addition, the following chapter will consider the data gathered during the research process and use

it to answer the primary and secondary research questions. The following chapter will also attempt to define the difference between performance and potential. This is important since the two terms are used interchangeably without a clear understanding. It will also briefly look at the old and new versions of the OER.

CHAPTER 4

DATA PRESENTATION AND ANALYSIS

Overview

This chapter will provide a presentation and analysis of the data presented on behalf of the research conducted. This chapter has four parts:

Part 1. Address the primary research question, “Does the Army effectively capture an officer’s potential for promotion, command, or future assignments using the OER as the document of record, and secondary questions; the differences in the Army’s definition of potential and performance; and the Civil Service Reform Act to review the standards for civilian service performance appraisals (evaluations).

Part 2. Addresses a senior rater’s ability to accurately document an officer’s potential using the OLD OER and OERS.

Part 3. Address is similar to part 2 except that it will use the new OER and OERS as the tool for documenting potential.

Part 4. Will look at leadership competencies that an officer should possess according to the Army’s leadership doctrine.

This chapter will conclude with a quick summary and set the conditions for future recommendations.

This analysis will also discuss how the new OER limits the senior rater comments to only those that address the officer’s potential, and why a better definition of potential is needed in order for senior raters to provide better assessments on potential. One of the goals of the new OER is that it should address the problems that the previous OER and evaluation reporting system caused. Provided in the thesis is that the current OER does

little to improve the Army's method of effectively reflecting an officer's potential for promotion, command, or future assignments and that nothing has really changed just because a new form was created.

Primary Research Question

The primary research question is "Does the Army effectively capture and officer's potential for promotion, command, or future assignments using the OER as the document of record?" In analyzing this question, the research conducted found that there is a need to provide better guidance on how to assess officers on their individual potential for promotion, command, or future assignments by senior raters. The research conducted showed that the problem is not with the reporting system itself, but (1) with the use of the OER by decision makers, (2) no clear definition of potential, and (3) the problem with grouping all officers of the same grade, regardless of branch, into the same assessment pool; this is commonly known as "pooling." The research conducted also found that the Army needs a more precise definition of potential to help senior raters in accurately and objectively assessing an officer. In addition, the research conducted found that while a very detailed explanation and guidance is given to raters on how they are to measure an officer's performance, senior raters are only told to evaluate an officer's potential as compared to others officers that are in the same grade as the rated officer (see Appendix A and Appendix B). The assumption here is that senior raters do not spend or have a lot of time to reference the regulation governing the evaluation and therefore consistently rely on how they have written reports in the past. The basis of this assumption comes from the result of the researcher's personal experience as an Adjutant General Corps Officer and dealing with OERs and senior raters on an extensive basis.

Secondary Research Questions

The three secondary research questions that need addressing are as follows:

1. How to measure potential?
2. Should potential be measured against leader competencies as outlined in Army Doctrine Publication (ADP) 6-22?
3. Is the senior rater the right person to articulate potential?

The analysis addresses two of the three secondary research questions. How potential is measured and is the senior rater the right person to address potential. Focusing on the first question, “How is potential measured?” Based on the research conducted, there appeared to be a lack of consistency and clarity in the doctrine and regulations in which the Army explains how to measure potential for an officer. Army doctrine states that the senior rater is responsible to provide an assessment, based on their personal experiences, on an officer’s potential. This assessment is subjective in nature and relies solely on the senior raters understanding of the needs of the army “enterprise” leaders in the future and previous experiences. The opinion is also hampered, in many instances by the lack of proximity, numbers of personnel senior raters must assess for potential, and the lack of objective assessments.

The research also found that measuring an officer’s potential against that of his or her peers may not always result in a fair and objective evaluation given. As an example, organizations that have a high number of “high potential” officers, such as the Ranger Regiment, Division Staffs, etc., are comparing against a high potential pool instead of the entire pool. This is a potential problem. Additionally, many officers have fundamentally different expectations, functionalities, and specialties so when compared to peers in the

same organization it may give comparing oranges and apples. This particular issue receives further exploration later in this chapter.

The research, also attempts to answer the question, “Is the senior rater the right person to articulate potential?” While senior raters are normally the most senior and knowledgeable officer in the officer’s rating chain, what training does the Army provide them to establish a shared understanding? What training does the Army provide to ensure the evaluated officer understands what the Army expects in the future force? This lack of shared understanding leads to mistrust in the OERS and questions the validity of the assessment given by the senior rater. This often leads to the rated officer being surprised at the evaluation they receive from the senior rater. Combined with the fact that different officers in different branches have different professional requirements and expectations at various echelons of command, the research shows the need for more consideration in this area to establish a shared understanding between the Army and senior raters and those they senior rate.

Defining Performance vs Potential

If the expectation is that senior raters and leaders assess and measure an officer’s potential then there needs to be a more precise definition of what potential is and how to measure it. Performance and potential require different assessment measures, hence the requirement for raters to assess an officer’s performance and the senior rater to assess an officer’s potential. When defining potential, the research attempts to define the meaning of not just potential but leadership potential. Though a majority of most officers will serve in staff positions, they are still leaders, and their respective potential to perform as Army leaders regardless of the position they hold is paramount. The problem is, although

the Army provides a Leadership Requirements Model (LRM) for its officers, senior raters may not assess potential based on the LRM. Senior raters may be more concerned with making sure the officer who is more senior gets the top block and great write-up. In addition, senior raters may give assessments based on an officers timeline for promotion and/or if the officer has been passed over for promotion from previous selection boards.

DA PAM 600-3 states, “The potential evaluation contained on the OER is a projection of the performance accomplished during the rating period into future circumstances that encompass greater responsibilities. The primary focus of this assessment is the capability of the officer to meet increasing levels of responsibility in relation to his or her peers” (Department of the Army 2014c, 38). Each senior rater will have his or her own philosophy when it comes to who gets a top block, however Army doctrine attempts to provide some guidance on what the potential evaluation should be.

AR 623-3, the Army’s definitive document for providing guidance on officer evaluations, gives the same broad definition of potential as it relates to Performance Evaluations. The regulations continuously lump the word potential with performance and state that, “Potential evaluations will be performance-based assessments of rated officers’ or NCOs’ ability to perform in positions of greater responsibility and/or higher grades compared to others of the same grade” (Department of the Army 2014b, 5). The same regulation states that an officer’s assessment given by the rating chain results from the manner of performance and potential the officer displays during the rating cycle. The regulation states that performance evaluations, “also focus on potential assessments to include judgments about a Soldier’s (in this case officer’s) ability to perform at the current and higher grade or rank, whether or not a Soldier will be given greater

responsibility at the present rank, or retained for further military service” (Department of the Army 2014b, 3). It goes on to state that performance and potential assessments by rating officials are extremely important factors when determining a leader’s potential compared to their peers (Department of the Army 2014b, 14). The same regulation then goes on to say that, “Evaluation reports that are incomplete or fail to provide a realistic and objective evaluation make personnel management decisions increasingly difficult” (Department of the Army 2014b, 4).

In contrast, DA PAM 600-3 states, “The assessment of an officer’s potential is a subjective judgment of the officer’s capability to perform at a specified level of responsibility, authority, or sensitivity.” In the same paragraph, the DA PAM states, “The Army also assesses the officer’s potential for retention and increased responsibility within a specified grade.” The Army doctrine is conflicting and results in a lack of shared understanding for senior raters to evaluate and assess potential.

One way to do that is to measure an officer’s potential based against the Army’s Leadership Requirements Model along with an assessment of the officer’s performance during the rating period. This will lead to a change in doctrine and regulations and a change in the Army’s educational efforts to teach senior raters about their role and responsibility when writing evaluations. This change will also help to push senior raters in conducting the mandatory counseling required by regulation, provide measurable performance standards and expectations by the senior rater, and give the senior rater a model to assess the officer’s strengths and weaknesses against. In addition, grouping officers into the same rating population based on grade when they have fundamental

technically and tactically different functions prevents an officer from receiving a fair and objective assessment on their respective potential.

The Civil Service Reform Act

The Civil Service Reform Act (CSRA) requires each federal agency establish and maintain a formal performance management plan. The federal agencies programs must, “Observe an employee’s performance in relation to performance requirements over a period of time, and then make an appraisal of it” (Griggs and Morrison 2002, 1). The Federal Performance Appraisal System (FPAS) follows guidelines that a performance appraisal system must provide for:

1. Establishing performance standards that will, to the maximum extent feasible, permit the accurate evaluation of job performance on the basis of objective criteria (which may include the extent of courtesy demonstrated to the public) related to the job in question for each employee in or position;
2. Communicating to each employee at the beginning of each appraisal period, the performance standards and the critical elements of the employee’s position;
3. Evaluating each employee during the appraisal period on such standards;
4. Recognizing and rewarding employees whose performance so warrants;
5. Assisting employees in improving unacceptable performance.

The point here is to show that within the civilian sector, employee assessments based on an established performance standard should allow, to the greatest extent possible, for an accurate evaluation. An assessment of a civilian employee’s potential is a result of objective criteria that the immediate supervisor and the employee established at the beginning of the rating period. It is important to understand that civilian employee

assessments are to consider the performance of the individual and not compared the employee's assessment compared to his or her peers. This method also helps ensure that the individual employee and immediate supervisor always have written standards of performance and expectations that they can revisit during the rating cycle and make any necessary adjustments as needed. It also allows the immediate supervisor the tools needed to address any negative performance issues during the rating cycle and work with the employee to fix prior to giving a final assessment of the employee's performance and potential.

The Old OER

This section provides a brief discussion of the old version of the OER and its intended purpose. The group of OERs found in an officer's Official Military Personnel File (OMPF) are the most important documents in the officer's OMPF. The Department of the Army selection boards and assignment managers use the OER as the main document when selecting for promotions, command positions, and in some cases who will get what assignments. As part of the actual OER, the senior rater comments and assessment of an officer's potential weighed heavily in the decision-making process.

The old version of the OER gave senior raters the ability to comment on both the officer's performance and potential. In addition, the old version of the OER gave senior raters the ability give no more than 49 percent of any officers in the same grade an Above Center of Mass evaluation. The old OER version also used the same form to evaluate officers in the grade of O-1 through O-7. Finally, while there was a Support Form in existence, it was not a mandatory form according to Army doctrine and regulations.

In April of the 2014, the Army created a new series of the OER. The next section will describe and discuss some of those changes and the reasons for those changes. One thing to note is that while all these changes significantly changed the form itself to make a more efficient Officer Evaluation System, it still did not address the need to clarify what potential is and how to assess it.

The New OER

According to the 2014 version of AR 623-3, the new DA FORM 67-10 series allows rating officials to provide HQDA with a performance and potential assessment of each rated officer for HQDA selection board processes (Department of the Army 2014b, 5). More specifically, the senior rater is the designated officer for assessing and documenting and officer's potential. This was a change from the previous OER in that now senior raters are only to comment on the potential of an officer. On previous versions of the form, senior raters provided comments on both performance and potential.

The new series of OERs provided a different, though somewhat similar in format, OER for four different grade plates of officers. No longer would an O-6 receive his or her evaluation on the same Department of the Army Form used for an O-4 or O-5. The new series of OERs include evaluation reports for company grade (2LT-CPT), field grade (MAJ-LTC), strategic leaders (COL), and Brigadier Generals.

Another change implemented with the new OER is that the support form is now a mandatory requirement for all officers in the ranks of WO1-COL. The form allows senior raters to provide comments to the rated officer on the thoughts and expectations of the senior rater. If used correctly, it will also give senior raters the ability and capability to interface with the rated officer before rendering the final OER (See Appendix C). Used

correctly, the support form also aids in the leader development process of an officer. The problem is that most officers receive little to no formal or informal counseling or one-on-one interaction regarding senior rater expectations prior to the officer receiving his or her OER. The next section will discuss this in more detail.

Evaluating Army Officer Potential using the OER

The Army's mechanism to judge the value of an individual's performance and potential is the OER and OER Support Form. However, the OER Support Form does not go forward with the OER and the selection boards still do not see it. DA PAM 600-3 explains that all subsystems of the Officer Personnel Management System (OPMS) affected by the evaluation report include promotions, school selections, functional designations, and command and key billet selections, as well as separation boards. When decision makers and selection boards have to make important decisions regarding the future career of an officer, the OER provides insight into the potential the officer has or lacks. That being the case, this section considers data from surveys and reports conducted on how officers perceive the OER and the system under which it falls.

The Army Training and Leader Development Panel (ATLDP) Officer Study Report to the Army in 2000 conducted research on the OER and the OERS. The report found that the OER itself was a source of mistrust and anxiety (The Army Training and Leader Development Panel 2000, 9). The ATLDP reported that this is mostly the result as most officer's belief that the OER was not meeting officer expectations as a leader development tool (The Army Training and Leader Development Panel 2000, 9). The report also found that most officers said that the leader development aspects of the OER saw seldom use, and senior raters seldom counseled subordinates (The Army Training

and Leader Development Panel 2000, 9). The assumption here is that officers were referring to the OER Support Form. This violates what DA PAM 600-3 defines as part of *The Army Profession*—that Army leaders have the critical responsibility to develop future leaders who are prepared to meet tomorrow’s challenges. One way to accomplish this is through mentoring, counseling, and coaching. The mistake comes when no interaction occurs and then at the end of the rating cycle a senior rater makes an assessment, renders that assessment on the OER, and then asks the officer to sign the OER with very little to no previous one-on-one interaction.

In contrast, the same report found that senior officers serving on selection boards indicated that the OER was giving them what they needed to sort through a very high quality officer population and select those with the greatest potential to lead soldiers (The Army Training and Leader Development Panel 2000, 9). This proves that there is a clear disconnect with what officers in the field believe and what the Army senior leaders at the time believed to be the actual truth of the effectiveness of how the Army measures potential.

Data collected from this report shows that though most officers do not believe in the OES system, there is consistent concern with senior rater inconsistency, inability to adhere to regulatory guidance, and lack of objective assessment criteria to measure an officer’s potential. In other words, while officers believe that the evaluation system (not the actual OER) is a good method to document an assessment on an officer’s performance and potential, there are inherent flaws that lead to subjective assessments and a lack of involvement and interaction during the rating period between the rated

officer and the senior rater. This leads to distrust in senior rater ability to accurately assess and provide a fair and regulatory assessment of an officer's potential.

Though conducted fifteen years ago, the ATLDP study found trends that are still occurring in today's Army. In the 2012 CASAL Survey, counseling frequency percentage increased but still needs to improve (Riley et al. 2012, 68). Keep in mind DA PAM 600-3 states, "The potential evaluation contained on the OER is a projection of the performance accomplished during the rating period into future circumstances that encompass greater responsibilities" (Department of the Army 2014c, 38). If this is how the Army wants senior raters to assess potential then more quality performance counseling needs to take place by both the rater and senior rater. Officers also attribute the lack of performance counseling received by senior raters as a factor that contributes to their mistrust of the evaluation system and leadership development opportunity. Most note that the lack of feedback during the rating period creates environments in which officers are not sure where they stand when it comes time to receive an evaluation.

The problem arises from a myriad of issues but one reoccurring issue that many officers say they experience is the lack of counseling from senior raters and the misuse of the Officer Evaluation Report Support Form. It is difficult enough to receive the required counseling from an immediate supervisor, and more often than not, senior raters either do not counsel or provide meaningful feedback to subordinates on areas they need to improve in order to receive a "top block" check mark on their evaluation.

The following year, the 2013 CASAL survey found nearly one-fourth of field grade officers never or almost never receive formal or informal performance counseling (Riley et al. 2014, 74). Though this response relates to a question posed regarding

immediate supervisors, it assumes that the numbers are equal if not worse if asked the same question regarding senior raters. If senior raters do not deliberately take time to use the OER and OER Support Form as leadership development opportunities, rated officers will continue to lose trust in the evaluation system and the ability of their senior raters to provide accurate, fair, and objective evaluations.

Table 2. Frequency of Performance Counseling

How Often do you Receive Performance Counseling? (2012 CASAL)					
Active Duty Leaders	Monthly or More Often	Quarterly	Semi-Annually	At Rating Time	Never
MAJ-COL	18%	16%	9%	24%	32%
How Often do you Receive Formal or Informal Performance Counseling? (2013 CASAL)					
Active Duty Leaders	Monthly or More Often	Quarterly	Semi-Annually	At Rating Time	Never or Almost Never
MAJ-COL	29%	18%	8%	21%	24%

Source: Ryan Riley, Josh Hatfield, Tyler Freeman, Jon J. Fallesen, and Katie M. Gunthe, “2013 Center for Army Leadership Annual Survey of Army Leadership (CASAL): Main Finding” (Technical Report, Center for Army Leadership, U.S. Combined Arms Center, 2014), 74; Ryan Riley, Josh Hatfield, Art Paddock, and Jon J. Fallesen, “2012 Center for Army Leadership Annual Survey of Army Leadership (CASAL): Main Finding” (Technical Report, Center for Army Leadership, U.S. Combined Arms Center, 2013).

What Changed with the New OER

What did change from the old OER to the new OER was the greater focus on senior rater’s responsibility to only comment on an officer’s potential. However, there is still little to no detailed explanation of what the senior rater should be looking for when providing the assessment of the officer’s potential. Compared with the very detailed instructions provided to the rater, senior raters receive very little (see Appendix A and

Appendix B). According to Army doctrine, an officer's potential, assessed by the officer's senior rater, and addressed on the OER in the senior rater portion of the OER will continue as the process to assess and officer potential. For the majority of majors, lieutenant colonels, and colonels, the senior rater is in the officer's chain of command and has some visibility on the daily responsibilities of the officer. The belief is that the assessments provided by the senior rater comments are the most important part of the OER and will ultimately determine if an officer receives a promotion or selection for a command. Senior rater comments provide information that decision makers and selection boards consider when making decisions on whom to pick. Again, the new OER further limits the responsibility of the senior rater only to provide comments on the officer's potential, whether it is for promotion to the next rank, command, or a particular critical assignment.

In terms of the senior rater profile, there were minor changes implemented with respect to O6 level block checks. Senior raters for colonels can now give no more than 24 percent of colonels they rate a block check of "Multi-Star Potential," and only 25 to 49 percent of colonels rated can receive a "Promote to BG" block check. Senior rater profiles are extremely important and sometimes factor into the senior raters decision on who they will give a stellar evaluation regardless of the officer's actual potential. Senior rater profiles are sensitive in nature and only a few "select" individuals have access to the information. The senior rater profile helps keeps track of how many "top block" evaluations and senior rater can give at any given time. The new OER provides senior raters with more succinct options when rendering a block check on an officer. However, when compared to the previous version of the OER, nothing really changed except the

verbiage used. Currently, senior raters are limited to giving 49 percent of any group of officers in a particular grade a “Highly Qualified” block check. Equivalent to the previous “Above Center of Mass” block check, the percentage of officers of a respective grade that can receive that block check remained unchanged. Important to note is what the Army classifies as important jobs. These jobs are classified and branch qualifying positions or assignments. It is during these assignments that officers are told are the most important to receive top marks. It is believed that performing exceptionally well in these field grade branch qualifying positions, as well as in lieutenant colonel- and colonel-level command assignments is the gateway to longevity for senior level leadership positions (Donahue 2004, 12). If this is true, senior raters must continue to manage their profiles to ensure that deserving officers receive top marks and that they are provide accurate, fair, and objective assessments of their potential.

Research Findings

The following table attempts to show how effective or ineffective the OER has been in the past in regards to documenting an officer’s potential and its use for promotion, command, and future assignments. The score column bases its score from surveys conducted by the Center for Army Leadership’s CASAL Surveys and other data derived from the research. The scale used is “1” through “3” with three being the highest possible score. A score of three indicates that the OER is found to be used the majority of the time in the decision making process. A score of two means that the OER is used some of the time or inconsistently by decision makers. Lastly, a score of “1” means there was inconclusive data available on the given area or the OER has very little to no use.

With respect to the effectiveness of the senior rater use of the OER to measure an officer's potential, it was found that use of the OER and OER Support Form as a leader development tool occurs on some occasions but not consistently. This was evident by the lack of counseling officers receive as reported during the 2012 and 2013 CASAL surveys. The lack of formal and informal counseling results in the score of two for this particular category as seen in the table.

The table also shows that selection boards use the comments by senior raters on potential to make decisions on whom to promote always. It also shows that senior rater comments on potential weigh heavily during selection boards and that senior leaders reported that senior rater comments are providing the necessary input to help selection board members make decisions. This category received a score of three.

In terms of using an officer potential for considerations of assignment, the research found that potential plays little to no role in the assignment process. According to a Strategic Studies Institute monograph series on talent management, "Yet, in a well-meaning effort to take care of its people, the Army's current officer assignment process focuses much more upon fairness than it does upon coolly optimizing officer productivity. Instead of talent considerations, each officer's dwell (nondeployed) time, boots-on-the-ground (BOG or deployed) time, number of deployments, and the number of overseas postings dominate future assignment decisions" (Wardynski, Lyle, and Colarusso 2010, 5). This category received a one for its score.

Table 3. OER Effectiveness

	1	2	3
Senior Raters	Senior Raters never conduct counseling using the OER support form	Senior Raters us but not consistently <input type="checkbox"/>	Always used
Selection Boards	Selection Boards never use the OER to make Promotion decisions	Used consistently along with the Officer Record Brief (ORB)	Always used and is the #1 document used to make selection decisions <input type="checkbox"/>
Assignments (O5 and below)	Never considered <input type="checkbox"/>	Used along with other documents (i.e. ORB)	Always used to determine who is assigned where

Source: Created by author.

Chapter Summary and Conclusions

In the 2013 CASAL survey, the research found that only one-third of leaders rate the developmental counseling they receive from their immediate superior as having a large or great effect on their development. It goes on to state that nearly one-in-five officers indicate that they never or almost never receive formal or informal performance counseling (Riley et al. 2014, 120). More often than not, officers receive an assessment based on the subjective reasoning of the senior rater. Another factor is whether the senior rater can give the officer a top block based on the senior rater's profile. In addition to the senior rater's profile, the rating an officer receives may result from the relationship that the officer has with the senior rater. While all these factors play into the evaluation an officer receives, selection boards and assignment managers have limited to no interaction with the officer and must base their decisions for promotion selection and assignment

decisions based on this faulty rating system. If this is the case and the evaluation of an officer's potential is on projecting past performance into the future then there needs to be more emphasis conducting performance counseling by both raters and senior raters.

In conclusion, the answer to the primary research question is no, the Army does not effectively capture an officer's potential for promotion, command, or future assignments using the OER as the document of record. Secondly, the method of assessing an officer's potential is lacking due to the infrequency of formal and informal counseling provided to the rated officer. This leads to the need for a more precise definition of what potential is and how senior raters are to assess it. In addition, because there is no accurate definition of potential, senior raters will continue to give subjective evaluations and senior rater comments. Officers will continue to have their potential assess based on a comparison of their performance as measured against their peers and not based on an objective measurement as expected from standard Army leader attributes and competencies expected of an officer and based solely on that individual officer's ability to perform at higher echelons within the Army.

The next chapter will discuss conclusions and recommendations that address the answer to the primary question. The recommendations provided are the result of the analysis conducted in this chapter along with the data points identified in the literature review. The recommendations presented are also the result of the answer to the primary and secondary research questions.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

Management is, in the end, the most creative of all the arts—for its medium is human talent itself.

— Robert McNamara
Speech at Millsaps College, 1967

Introduction

This chapter will provide the final recommendations and conclusion from the research. It begins by reviewing the findings from Chapter 4 and the evidence as presented and found in the analysis. It then provides the conclusions derived from the findings. In addition, it will discuss the recommendations that resulted from the research. Finally, the research will give areas for further research that resulted from this study and conclude with a summary.

Brief Summary of Findings from Chapter 4

The analysis conducted in the previous chapter lead to findings regarding the effectiveness of using the OER as the document of record to capture an officers potential for promotion, command, and future assignments. Based on previous surveys conducted and information gathered on the subject, the research found some areas where the Army's method of assessing and documenting an officer's potential needs improvement.

The research analysis also found that the majority of officers report not receiving regular or periodic counseling from their senior raters. This causes mistrust with the Officer Evaluation System and leaves the question as to whether or not senior raters are even aware of the performance (which feeds into the assessment of an officer's potential),

of any officer they senior rate. It also leads to a failed mission command climate in which officers do not trust their senior raters to give them fair and objective assessments based on their performance. This was evident in by the report given in a recent CASAL survey.

Conclusions

Considering the results presented in the previous chapter, several conclusions are presented for consideration. The first conclusion drawn from the research shows that senior raters need a more precise definition of potential. The second conclusion is that if senior raters are required to comment on an officer's potential, they need performance measures that they can use to evaluate an officer's potential. Making the Officer Support Form mandatory helps to increase the interaction between the rated officer and senior rater, but senior raters need to ensure that they coach, teach, and mentor the officers they senior rate. Senior raters must make it a priority to conduct both formal and informal performance counseling. In order to provide a fair and objective assessment of the officer's potential, senior raters must provide the officer with expectations and measures of performance that helps provide for an objective assessment the end of the rating period. Third and final conclusion the research is that evaluations are subjective and not based on a shared understanding of what the Army expects and needs of its leaders at the next level.

What are the implications? If not addressed, senior raters will continue to provide assessments as they always have. Officers will continue to receive evaluations that are subjective in nature and evaluations will continually address the officer's performance as compared with that of their peers, which is not the most effective way when assessing an officer's potential for promotion, command, or future assignments. In addition, there will

also be a high number of cases in which the rated officer does not trust both the senior rater and the Officer Evaluation System due to the lack of formal and informal counseling and professional interaction with the senior rater.

Recommendations

There are four recommendations drawn from the research. The first recommendation is that officer not have their potential assessed based on a comparison with their peers. The second recommendation is the need for a more precise definition of potential that clearly defines what it is and how senior raters can measure it. The third recommendation is the need relook at the current body of Army doctrine and regulations that provide guidance to senior raters regarding their responsibility to assess and provide an evaluation on potential. Doing this should help to clarify what potential actually is and how it can be measured. Lastly, the fourth recommendation is that senior raters be required to actually document in writing and convey, via the OER Support Form, what the rated officer must consider and strive to display in terms of the qualifications and characteristics to serve in the next higher rank and level of responsibility—and be held accountable.

Let us take a more in-depth look at the recommendations. Starting with the first recommendation that officers should not have their potential for promotion, command, and future assignments based on their performance as judged against their peers. As officers move up in rank, their specific duties and responsibilities are fundamentally different in nature and makes it difficult to compare. While an Infantry Lieutenant Colonel will be highly concerned with obtaining a command, an Acquisition Lieutenant Colonel may not have the same concern or opportunity. Assessing their potential

comparatively for the next rank (Colonel) is fundamentally inconsistent considering that each will need different technical and tactical skill sets at the next rank and position that they serve.

As stated in chapter 4, there are inconsistencies in Army doctrine regarding the definition of potential. The second recommendation is the need for a more precise definition of potential. Conflicting guidance found in regulations regarding what a senior rater's assessment of potential should entail needs further consideration. One definition of potential could be to use the LRM as a model for officer potential and provide a standard for measuring potential. This will allow senior raters to establish measures of performance and measures of effectiveness for each officer that they senior rater. This also gives the rated officer a standard set of expectations regarding the competencies that they are expected to have and display.

The third recommendation is for a change in Army doctrine and regulations that more consistently provide a definition of potential. On one hand, DA PAM states that the assessment of an officer's potential is a subjective judgment of the officer's capability to perform at a specified level of responsibility, authority, or sensitivity. Though it goes on to say that potential is normally associated with the capability to perform at a higher grade, this guidance fails to address the fact that an officer's potential is captured on the OER and also helps determine selections for command and future assignments that require the best-fit officer. Conversely, AR 623-3 states that senior raters have the responsibility to ensure objectivity and fairness when rendering their respective assessment of potential. The regulation then goes on to state that evaluation reports, which must be a thoughtful and fair appraisal of an officer's abilities, are the result of

observed performance and potential. This is unclear and once again proves that Army doctrine uses the words performance and potential interchangeably. The Army must clearly state precisely what potential it seeks in its leaders. Additionally, providing training and a reference guide to assess potential would benefit senior raters. This will create a shared understanding and assist all leaders in assessing and developing subordinates.

One way to change Army doctrine and regulation is to make the Army's LRM the basis to assess potential. The Army provides its expectations of leaders via the LRM and senior raters can assess each individual officer's potential to operate at the next higher grade based on the leadership attributes and competencies described in the LRM. For example, intellect is an attribute the Army expects all officers to exhibit. A senior rater can use the characteristics of this attribute to assess the officer's potential to serve at the next higher rank if they are able to display the characteristics required at the next rank. Senior raters can then determine, based on the manner of performance displayed by the officer, if the officer displays innovation, interpersonal tact, and the expertise required for the next higher level of responsibility.

In addition, ADRP 6-22 states that the Leadership Requirements Model conveys the expectations that the Army wants leaders to meet. Interesting to note is that the ADRP states, "A common model of leadership shows how different types of leaders work together and is useful for aligning leader development activities and personnel management practices and systems" (Department of the Army 2012, 5). This leads to the third recommendation, which is each officer is different and should not have their potential assessed based on a comparison with their peers. This allows the rated officer,

rater, and senior rater to develop specific objectives of performance that each officer can work to accomplish based on their respective branch's functional expectations. For example, a Brigade S-6 will need to "Get Results" varies from what the Brigade S-3 is expected to accomplish in order to "Get Results."

The fourth recommendation is that senior raters be required to actually document in writing and convey, via the OER Support Form, what the rated officer must consider and strive to display in terms of the qualifications and characteristics to serve in the next higher rank and level of responsibility. Since the OER Support Form is already mandatory, the recommendation is that the Support Form follows the OER and at a minimum be made available to a board. This would help to hold senior raters accountable for their responsibility of leader development and should increase interaction with the officers they rate. The thought here is that senior raters have already served at the next level of leadership that the rated officer strives to obtain. Senior raters are often two ranks higher than the rated officer is and has the knowledge and expertise of what it takes to be successful. For example, a colonel senior rating a major has already served as a lieutenant colonel. That same colonel can give the major guidance on the expectations and requirements expected at the lieutenant colonel rank. Just telling the rated officer that they need to display characteristics of the next rank, or telling a major they need to display qualities of a battalion commander does not give the officer concrete goals and objectives to try to incorporate into their everyday actions.

Recommendations for Further Study

One recommendation for further study comes because of the newness of the new OER. As senior raters continue to render evaluations on officer potential, this creates a

great opportunity to determine if their comments are not only fair and objective but if they accurately measure the rated officer potential according to a more precise definition of potential. In addition, the research recommends that further study include gathering data that highlights if assignment managers increase their use of the OER when making decisions on where to place officers. Another recommendation for further study is to explore the methods used by the Army's sister services, and compare their methods used to assess officer potential with that of the Army's. The last recommendation for further study is on how the OER ties into the Army's effort of talent management.

Summary and Conclusions

While the Officer Evaluation Reporting System and OER have been main stays concerning evaluating an officer's potential, there needs to be continued assessments of the effectiveness of its use and function. The research conducted in this study found that there are some inconsistencies and problems with how senior raters are required to provide assessments and evaluations on an officer's potential. Included in these inconsistencies are differences in whether evaluations are fair and objective or subjective in nature.

In contrast, the OER and the system under which it operates, provides a good way of providing assessments to officers on their performance. The problem is not the system itself. The problem this research addresses is the lack of a clear method used to evaluate officer potential. Though there is clear guidance and how raters are to render their performance evaluations, there is little guidance explaining to senior raters how to effectively and accurately measure potential. Even with this lack of guidance to senior

raters, both raters and senior raters will continue to provide information to selection boards and other decision makers and for the most part, this system works well.

The Officer Evaluation System continues to be instrumental in how the Army manages its officers and continuous refinement and adjustments will help to ensure that the right officers receive promotions, have the honor to serve in command, and put in assignments that maximize their potential. In the words of General Raymond T. Odierno, Chief of Staff of the Army,

The officer evaluation report system is an integral component of the Army's leader development program. It helps identify the best Army officers with the strongest potential to lead the Army of the future. . . .The new OER more accurately evaluates and officer's performance and potential. It increases rater and senior rater accountability. It provides the force with a more transparent Leader Development and talent management tool.

Now the Army must ensure that the words spoken by the Chief of Staff actually come to fruition. The Army is going through a critical transition as it comes out of two wars. It is critical that Army leaders understand the importance of looking at its systems and how the Army manages its people. The Army must continue its work and ensure it chooses the right individuals to lead the Army in a complex future.

APPENDIX A

DA FORM 67-10-2

FIELD GRADE PLATE (O4 - O5; CW3 - CW5) OFFICER EVALUATION REPORT						See Privacy Act Statement in AR 623-3.	
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.							
PART I - ADMINISTRATIVE (Rated Officer)							
a. NAME (Last, First, Middle Initial)		b. SSN		c. RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (Status Code)
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND				h. UIC		i. REASON FOR SUBMISSION	
j. PERIOD COVERED FROM (YYYYMMDD) THRU (YYYYMMDD)		k. RATED MONTHS	l. NON RATED CODES	m. NO OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)		
PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)							
a1. NAME OF RATER (Last, First, Middle Initial)		a2. SSN		a3. RANK	a4. POSITION		
a5. EMAIL ADDRESS (.gov or .mil)		a6. SIGNATURE			a7. DATE (YYYYMMDD)		
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)		b2. SSN (Optional)		b3. RANK	b4. POSITION		
b5. EMAIL ADDRESS (.gov or .mil)		b6. SIGNATURE			b7. DATE (YYYYMMDD)		
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)		c2. SSN		c3. RANK	c4. POSITION		
c5. SENIOR RATER'S ORGANIZATION		c6. BRANCH	c7. COMPONENT	c9. EMAIL ADDRESS (.gov or .mil)			
		c8. SENIOR RATER PHONE NUMBER		c10. SIGNATURE		c11. DATE (YYYYMMDD)	
d. This is a referred report, do you wish to make comments? <input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input type="checkbox"/> No				e1. SIGNATURE		e2. DATE (YYYYMMDD)	
f1. Supplementary Review Required? <input type="checkbox"/> Yes <input type="checkbox"/> No				f2. NAME OF REVIEWER (Last, First, Middle Initial)			
f3. RANK		f4. POSITION		f5. Comments Enclosed <input type="checkbox"/> Yes <input type="checkbox"/> No			
f6. SIGNATURE		f7. DATE (YYYYMMDD)		g. MSAF Date (YYYYMMDD)			
PART III - DUTY DESCRIPTION							
a. PRINCIPAL DUTY TITLE				b. POSITION AOC/BRANCH			
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES							
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)							
a. APFT Pass/Fail/Profile: <input type="checkbox"/> Date: _____ Height: _____ Weight: _____ Within Standard? Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset Item a, APFT/Pass/Fail/Profile							
b. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING BROADENING ASSIGNMENTS							
c. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING OPERATIONAL ASSIGNMENTS							
d1. Character: (Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)							

HQDA#

NAME	SSN	PERIOD COVERED: FROM (YYYYMMDD)	THRU (YYYYMMDD)								
<p>d2. Provide narrative comments which demonstrate performance regarding field grade competencies and attributes in the Rated Officer's current duty position. (i.e. demonstrates excellent presence, confidence and resilience in expected duties and unexpected situation, adjusts to external influence on the mission or taskings and organization, prioritizes limited resources to accomplish mission, proactive in developing others through individual coaching counseling and mentoring, active learner to master organizational level knowledge, critical thinking and visioning skills, anticipates and provides for subordinates on-the-job needs for training and development, effective communicator across echelons and outside the Army chain of command, effective at engaging others, presenting information and recommendations and persuasion, highly proficient at critical thinking, judgment and innovation, proficient in utilizing Army design method and other to solve complex problems, uses all influence techniques to empower others, proactive in gaining trust in negotiations, remains respectful, firm and fair. Fully supports SHARP and creates a positive command/workplace environment.)</p>											
COMMENTS:											
<p>e. This Officer's overall Performance is Rated as: (Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 50% in EXCELS.)</p> <p>I currently rate <input type="checkbox"/> Army Officers in this grade.</p> <p>A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review <input type="checkbox"/> Yes <input type="checkbox"/> No (explain in comments below)</p> <table><tr><td>EXCELS (49%)</td><td>PROFICIENT</td><td>CAPABLE</td><td>UNSATISFACTORY</td></tr><tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr></table>				EXCELS (49%)	PROFICIENT	CAPABLE	UNSATISFACTORY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXCELS (49%)	PROFICIENT	CAPABLE	UNSATISFACTORY								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>								
Comments:											
PART V - INTERMEDIATE RATER											
PART VI - SENIOR RATER											
a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)		b. I currently senior rate <input type="checkbox"/> Army Officers in this grade.									
<input type="checkbox"/> MOST QUALIFIED (limited to 49%) <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED		c. COMMENTS ON POTENTIAL:									
		d. List 3 future SUCCESSION assignments for which this Officer is best suited:									

APPENDIX B DA FORM 67-10-3

HODA#:		Attachments Menu	
STRATEGIC GRADE PLATE (O6) OFFICER EVALUATION REPORT For use of this form, see AR 623-3; the proponent agency is DCS, G-1			See Privacy Act Statement in AR 623-3.
PART I - ADMINISTRATIVE (Rated Officer)			
a. NAME (Last, First, Middle Initial)		b. SSN	c. RANK
g. UNIT, ORG. STATION, ZIP CODE OR APO, MAJOR COMMAND		h. UIC	i. REASON FOR SUBMISSION
j. PERIOD COVERED FROM (YYYYMMDD) THRU (YYYYMMDD)		k. RATED MONTHS	l. NON RATED CODES
m. NO. OF ENCLOSURES		n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)	
PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed DER Parts I-VI and the administrative data is correct)			
a1. NAME OF RATER (Last, First, Middle Initial)		a2. SSN	a3. RANK
a5. EMAIL ADDRESS (.gov or .mil)		a6. SIGNATURE	a7. DATE (YYYYMMDD)
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)		b2. SSN (Optional)	b3. RANK
b5. EMAIL ADDRESS (.gov or .mil)		b6. SIGNATURE	b7. DATE (YYYYMMDD)
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)		c2. SSN	c3. RANK
c5. SENIOR RATER'S ORGANIZATION		c6. BRANCH	c7. COMPONENT
c8. SENIOR RATER PHONE NUMBER		c9. EMAIL ADDRESS (.gov or .mil)	c10. SIGNATURE
c11. DATE (YYYYMMDD)		d. This is a referred report, do you wish to make comments?	
<input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input type="checkbox"/> No		e1. SIGNATURE	
f1. Supplementary Review Required?		f2. NAME OF REVIEWER (Last, First, Middle Initial)	
<input type="checkbox"/> Yes <input type="checkbox"/> No		f3. COMMENTS ENCLOSED	
f4. POSITION		<input type="checkbox"/> Yes <input type="checkbox"/> No	
f5. SIGNATURE		f7. DATE (YYYYMMDD)	
f6. MSAF Date (YYYYMMDD)			
PART III - DUTY DESCRIPTION			
a. PRINCIPAL DUTY TITLE		b. POSITION AOC/BANCH	
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES			
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)			
a. APFT Pass/Fail/Profile:		Date:	
Height:		Weight:	
Within Standard?		Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset Item a, APFT/Pass/Fail/Profile	
b. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING STRATEGIC ASSIGNMENTS			
c1. Character:			
(Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline Fully supports SHARP, EO, and EEO)			

HQA#			
NAME	SSN	PERIOD COVERED: FROM (YYYYMMDD)	THRU (YYYYMMDD)
<p>c2. Provide narrative comments which demonstrate performance and potential regarding strategic competencies in the Rated Officer's current duty position, (i.e. providing vision, motivation and inspiration; negotiating within and beyond national boundaries; building strategic consensus; leading and inspiring change; dealing with uncertainty and ambiguity; creates a positive environment to prepare for the future; expanding knowledge in cultural and geopolitical areas; self-awareness and recognition of impact on others; building team skills and processes; allocating the right resources; capitalizing on unified action partner assets; capitalizing on technology; accomplishes missions consistently and ethically. Fully supports SHARP and creates a positive command/workplace environment.)</p> <p>A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review: <input type="checkbox"/> YES <input type="checkbox"/> NO (explain)</p>			
COMMENTS ON PERFORMANCE:			
<div style="background-color: #e0e0ff; height: 100px;"></div>			
COMMENTS ON POTENTIAL:			
<div style="background-color: #e0e0ff; height: 100px;"></div>			
PART V - INTERMEDIATE RATER			
<div style="background-color: #e0e0ff; height: 100px;"></div>			
PART VI - SENIOR RATER			
<p>a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)</p> <p><input type="checkbox"/> MULTI-STAR POTENTIAL (limited to 24%)</p> <p><input type="checkbox"/> PROMOTE TO BG (25% to 45%)</p> <p><input type="checkbox"/> RETAIN AS COLONEL</p> <p><input type="checkbox"/> UNSATISFACTORY</p> <p>Note: Combined cumulative percentages of both "MULTI-STAR POTENTIAL" and "PROMOTE TO BG" must be less than 50%.</p>		<p>b. I currently senior rate <input type="text"/> Army Officers in this grade.</p> <p>c. COMMENTS ON POTENTIAL:</p> <div style="background-color: #e0e0ff; height: 100px;"></div>	
		<p>d. List 3 future SUCCESSIVE assignments for which this Officer is best suited:</p> <div style="background-color: #e0e0ff; height: 40px;"></div>	

APPENDIX C

DA FORM 67-10-1A

HODA#				Attachments Menu	
OFFICER EVALUATION REPORT SUPPORT FORM <small>For use of this form, see AR 623-3; the proponent agency is DCS, G-1.</small>				SEE PRIVACY ACT STATEMENT IN AR 623-3	
PART I - ADMINISTRATIVE (Rated Officer)					
a. NAME (Last, First, Middle Initial)	b. SSN	c. GRADE/ RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (STATUS CODE)
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND			h. UIC CODE	i. THRU DATE OF LAST COMPLETED EVALUATION	
j. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)			k. MSAF DATE		
PART II - AUTHENTICATION					
a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN	a3. RANK	a4. POSITION	a5. EMAIL ADDRESS (.gov or .mil)	
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)	b2. SSN (OPTIONAL)	b3. RANK	b4. POSITION	b5. EMAIL ADDRESS (.gov or .mil)	
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)	c2. SSN	c3. RANK	c4. POSITION	c5. EMAIL ADDRESS (.gov or .mil)	
c6. SENIOR RATER'S ORGANIZATION	c7. BRANCH	c8. COMPONENT	c9. SENIOR RATER PHONE NUMBER		
d1. INDIVIDUAL TO PERFORM SUPPLEMENTARY REVIEW (Last, First, Middle Initial) - (IF REQUIRED)	d2. RANK	d3. POSITION	d4. EMAIL ADDRESS (.gov or .mil)		
PART III - VERIFICATION OF FACE - TO - FACE DISCUSSION					
MANDATORY RATER/RATED OFFICER INITIAL FACE-TO-FACE COUNSELING ON DUTIES, RESPONSIBILITIES AND PERFORMANCE OBJECTIVES FOR THE CURRENT RATING PERIOD TOOK PLACE ON (DATE) RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS RATED OFFICER ACCESS TO SUPPORT FORMS PRIOR TO INITIAL COUNSELING: RATER (Date) SENIOR RATER (Date)					
PERIODIC RATER / RATED OFFICER FOLLOW-UP FACE-TO-FACE COUNSELINGS:					
DATE	RATED OFFICER INITIALS	RATER INITIALS	SENIOR RATER INITIALS		
DATE	RATED OFFICER INITIALS	RATER INITIALS	SENIOR RATER INITIALS		
DATE	RATED OFFICER INITIALS	RATER INITIALS	SENIOR RATER INITIALS		
PART IV - RATED OFFICER - DUTIES AND RESPONSIBILITIES					
a. PRINCIPAL DUTY TITLE:			b. POSITION AOC/BRANCH:		
c. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES:					
PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS					
a. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:			b. LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:		

HODA#:

PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS CONTINUED Describe adherence to leadership attributes and demonstration of competencies

A. CHARACTER: (Army Values, Empathy, Warrior Ethos/Service Ethos, Discipline - see ADRP 6-22)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

B. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience - see ADRP 6-22); (Safety/ Individual and unit deployment readiness/Support of behavioral health goals, AR 623-3 and Mission Command Principles, see ADP 6-0, addressed under fitness and resilience)

APFT GOALS: PU SU RUN HEIGHT/WEIGHT (ONLY AS NEEDED)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

C. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, expertise - see ADRP 6-22 and ADRP 6-0)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

D. LEADS: (Leads others, builds trust, extends influence beyond the chain of command, Leads by example, Communicates-see ADRP 6-22 and ADRP 6-0)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

E. DEVELOPS: (Creates a positive environment/Fosters esprit de corps, prepares self, Develops others, Stewards the profession - see ADRP 6-22.)

MSAF PROJECTED COMPLETION DATES IAW AR 350-1 DATE:

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

F. ACHIEVES: (Gets Results - see ADRP 6-22 and ADRP 6-0)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:

LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

HQDA#

PART VI - RATER SELF DEVELOPMENT GOALS

PART VII - SENIOR RATER COMMENTS

RATED SOLDIER - SIGNATURE AND DATE:

Continuation Section

PARTS I-IV INSTRUCTIONS. AR 623-3 outlines the administrative requirements necessary to complete these portions of the support form.

Some key requirements: **The rater will --**

- a. Provide a copy of his or her support form (or equivalent), along with the senior rater's support form (or equivalent), to the rated Soldier at the beginning of the rating period.
- b. Discuss the scope of the rated Soldier's duty description with him or her within 30 days after the beginning of the rating period. This counseling will include, as a minimum, the rated Soldier's duty description and the performance objectives to attain. The discussion will also include the relationship of the duty description and objectives with the organization's mission, problems, priorities, and similar matters.
- c. Counsel the rated Soldier.
 - (1) If the rated Soldier is recently assigned to the organization, the rater may use the counseling to outline a duty description and performance objectives. This discussion gives the rated Soldier a guide for performance while learning new duties and responsibilities in the unit of assignment.
 - (2) If the rater is recently assigned, this first counseling may be used to ask the rated Soldier for an opinion of the duty description and objectives. By doing this, the rater is given a quick assessment of the rated Soldier and the work situation. It will also help the rater develop the best duty description and performance objectives for the rated Soldier.
- d. Raters of CPTs, LTs, CW2s, and WO1s will also conduct quarterly follow-up counseling sessions to discuss performance, update and/or revise developmental tasks, as required, and assess developmental progress. Summary or key comments will be recorded for inclusion when preparing final CERS.

Senior raters and reviewing officials will --

- (1) Ensure support forms (or equivalent) are provided to all rated Soldiers they senior rate at the beginning of and throughout the respective rating periods.
- (2) Use all reasonable means to become familiar with a rated Soldier's performance. When practical, use personal contact, records and reports, and the information provided on the rated Soldier's support form.

The rated officer plays a significant role in counseling sessions and the evaluation process throughout the rating period. In the event of geographical separation, correspondence and telephone conversations will be used as alternatives to face-to-face counseling followed by face-to-face discussions between the rated Soldier and the rater at the earliest opportunity.

PART V INSTRUCTIONS: ICW ADRP 6-22 and ADP 6-0 rated officer performance objectives will align with the attributes and competencies required for all officers. The overall definition of each attribute and competency is addressed in the base support form. Key points:

A. CHARACTER: Army Values, Empathy, Warriors Ethos/Service Ethos, and Discipline.

Army Values: Values are principles, standards, or qualities considered essential for successful leaders. Values are fundamental to help people discern right from wrong in any situation. The Army has seven values to develop in all Army individuals: loyalty, duty, respect, selfless service, honor, integrity, and personal courage. **Empathy:** The propensity to experience something from another person's point of view. The ability to identify with and enter into another person's feelings and emotions. The desire to care for and take care of Soldiers and others. **Warrior Ethos/Service Ethos:** The internal shared attitudes and beliefs that embody the spirit of the Army profession for Soldiers and Army Civilians alike. **Discipline:** Control of one's own behavior according to Army Values; mindset to obey and enforce good orderly practices in administrative, organizational, training, and operational duties. Personal beliefs related to upbringing, culture, religious backgrounds, and traditions are also central to character.

B. PRESENCE: Military and professional bearing, Fitness, Confidence, Resilience Military and professional bearing:

Presence: Possessing a commanding presence. Projecting a professional image of authority. **Fitness:** Having sound health, strength, and endurance that support one's emotional health and conceptual abilities under prolonged stress. **Confidence:** Projecting self-confidence and certainty in the unit's ability to succeed in its missions. Demonstrates composure and outward calm through control over one's emotions. **Resilience:** Showing a tendency to recover quickly from setbacks, shock, injuries, adversity, and stress while maintaining a mission and organizational focus.

C. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, expertise) Mental agility: Flexibility of mind; the ability to break habitual thought patterns. Anticipating or adapting to uncertain or changing situations; to think through outcomes when current decisions or actions are not producing desired effects. The ability to apply multiple perspectives and approaches. **Sound judgment:** The capacity to assess situations shrewdly and draw sound conclusions. The tendency to form sound opinions, make sensible decisions and reliable guesses. The ability to assess strengths and weaknesses of subordinates, peers, and enemy to create appropriate solutions and action. **Innovation:** The ability to introduce new ideas based on opportunity or challenging circumstances. Creativity in producing ideas and objects that are both novel and appropriate. **Interpersonal tact:** The capacity to understand interactions with others. Being aware of how others see you and sensing how to interact with them effectively. Conscious of character, reactions and motives of self and others and how they affect interactions. Recognizing diversity and displaying self-control, balance, and stability. **Expertise:** Possessing facts, beliefs, logical assumptions and understanding in relevant areas.

D. LEADS: (Leads others, builds trust, extends influence beyond the chain of command, Leads by example, Communicates)

Leads others: 1. Uses appropriate methods of influence to energize others. Uses methods ranging from compliance to commitment (pressure, legitimate requests, exchange, personal appeals, collaboration, rational persuasion, apprising, inspiration, participation, and relationship building). 2. Provides purpose, motivation and inspiration. Inspires, encourages, and guides others toward mission accomplishment. Emphasizes the importance of organizational goals. Determines the course of action necessary to reach objectives and fulfill mission requirements. Communicates instructions, orders, and directives to subordinates. Ensures subordinates understand and accept direction. Empowers and delegates authority to subordinates. Focuses on the most important aspects of a situation. 3. Enforces standards - Reinforces the importance and role of standards. Performs individual and collective tasks to standard. Recognizes and takes responsibility for poor performance and addresses it appropriately. 4. Balances mission and welfare of followers. Assesses and routinely monitors effects of mission fulfillment on mental, physical, and emotional attributes of subordinates. Monitors morale, physical condition, and safety of subordinates. Provides appropriate relief when conditions jeopardize success of the mission or present overwhelming risk to personnel.

Builds Trust: 1. Sets personal example for trust. Is firm, fair, and respectful to gain trust. Assesses degree of own trustworthiness. 2. Takes direct actions to build trust. Fosters positive relationship with others. Identifies areas of commonality (understanding, goals, and experiences). Engages other members in activities and objectives. Corrects team members who undermine trust with their attitudes or actions. 3. Sustains a climate of trust. Assesses factors or conditions that promote or hinder trust. Keeps people informed of goals, actions, and results. Follows through on actions related to expectations of others.

Extends influence beyond the chain of command: 1. Understands sphere, means and limits of influence. Assesses situations, missions, and assignments to determine the parties involved in decision making, decision support, and possible interference or resistance. 2. Negotiates, builds consensus and resolves conflict. Builds effective working relationships. Uses two-way, meaningful communication. Identifies individual and group interests. Identifies roles and resources. Generates and facilitates generation of possible solutions. Applies fair standards to assess options. Creates good choices between firm, clear commitment and alternatives to a negotiated agreement.

Leads by example: 1. Displays character: Sets the example by displaying high standards of duty performance, personal appearance, military and professional bearing, physical fitness and ethics. Fosters an ethical climate; shows good moral judgment and behavior. Completes individual and unit tasks to standard, on time, and within the commander's intent. Demonstrates determination, persistence, and patience. Uses sound judgment and logical reasoning. 2. Exemplifies the Warrior Ethos. Removes or fights through obstacles, difficulties, and hardships to accomplish the mission. Demonstrates the will to succeed. Demonstrates physical and emotional courage. Shares hardships with subordinates. 3. Leads with confidence in adverse situations: Provides leader presence at the right time and place. Displays self-control, composure, and a positive attitude. Is resilient. Remains decisive after discovering a mistake. Acts in the absence of guidance. Does not show discouragement when facing setbacks. Remains positive when the situation becomes confusing or changes. Encourages subordinates when they show signs of weakness. 4. Demonstrates technical and tactical competence. Meets mission standards, protects resources, and accomplishes the mission with available resources using technical and tactical skills. Displays appropriate knowledge of equipment, procedures and methods; recognizes and generates innovative solutions. Uses knowledgeable sources and subject matter experts. 5. Understands the importance of conceptual skills and models them to others. Displays comfort working in open systems. Makes logical assumptions in the absence of facts. Identifies critical issues to use as a guide in making decisions and taking advantage of opportunities. Relates and compares information from different sources to identify possible cause-and-effect relationships. 6. Seeks diverse ideas and points of view. Encourages honest communication among staff and decision makers. Explores alternative explanations and approaches for accompanying tasks. Reinforces new ideas; demonstrates willingness to consider alternative perspectives to resolve difficult problems. Discourages individuals from seeking favor through tacit agreement.

Communicates: 1. Listens actively: Listens and watches attentively. Makes appropriate notes. Tunes in to content, emotion, and urgency. Uses verbal and nonverbal means to reinforce with the speaker that you are paying attention. Reflects on new information before expressing views.

PART V INSTRUCTIONS CONTINUED: ICW ADRP 6-22 and ADP 6-0 rated officer performance objectives will align with the attributes and competencies required for all officers. The overall definition of each attribute and competency is addressed in the base support form. Key points:

Communicates (continued) - 2. Creates shared understanding: Shares necessary information with others and subordinates. Protects confidential information. Coordinates plans with higher, lower and adjacent organizations. Keeps higher and lower headquarters, superiors and subordinates informed. Expresses thoughts and ideas clearly to individuals and groups. Recognizes potential miscommunication. Uses appropriate means for communicating a message. **3. Employs engaging communication techniques:** States goals to energize others to adopt and act on them. Uses logic and relevant facts in dialogue; expresses well-organized ideas. Speaks enthusiastically and maintains listeners' interest and involvement. Makes appropriate eye contact when speaking. Uses appropriate gestures. Uses visual aids as needed. Determines, recognizes, and resolves misunderstandings. **4. Is sensitive to cultural factors in communication:** Maintains awareness of communication customs, expressions, actions, or behaviors. Demonstrates respect for others.

E. DEVELOPS: (Create a positive environment/Fosters esprit de corps, prepares self, Develops others, Stewards the profession)

Creates a positive environment/Fosters esprit de corps: **1. Fosters teamwork, cohesion, cooperation and loyalty (esprit de corps)** Encourages people to work together effectively. Promotes teamwork and team achievement to build trust. Draws attention to the consequences of poor coordination. Integrates new members into the unit quickly. **2. Encourages fairness and inclusiveness.** Provides accurate evaluations and assessments. Supports equal opportunity. Prevents all forms of harassment. Encourages learning about and leveraging diversity. **3. Encourages open and candid communications.** Shows others how to accomplish tasks while respectful and focused. Displays a positive attitude to encourage others and improve morale. Reinforces the expression of contrary and minority viewpoints. Displays appropriate reactions to new or conflicting information or opinions. Guards against groupthink. **4. Creates a learning Environment:** Uses effective assessment and training methods. Encourages leaders and their subordinates to reach their full potential. Motivates others to develop themselves. Expresses the value of interacting with others and seeking counsel. Stimulates innovative and critical thinking in others. Seeks new approaches to problems. Communicates the difference between professional standards and a zero-defects mentality. Emphasizes learning from one's mistakes. **5. Encourages subordinates to exercise initiative, accept responsibility and take ownership:** Involves others in decisions and informs them of consequences. Allocates responsibility for performance. Guides subordinate leaders in thinking through problems for themselves. Allocates decision-making to the lowest appropriate level. Acts to expand and enhance subordinate's competence and self-confidence. Rewards initiative. **6. Demonstrates care for follower well-being:** Encourages subordinates and peers to express candid opinions. Addresses subordinates' and families' needs (health, welfare, and development). Stands up for subordinates. Routinely monitors morale and encourages honest feedback.

7. Anticipates people's on-the-job needs: Recognizes and monitors subordinate's needs and reactions. Shows concern for how tasks and missions affect subordinate morale. **8. Sets and maintains high expectations for individuals and teams:** Clearly articulates expectations. Creates a climate that expects good performance, recognizes superior performance, and does not accept poor performance. Challenges others to match the leader's example. **Prepares self. 1. Maintains mental and physical health and wellbeing:** Recognizes imbalance or inappropriateness of one's own actions. Does not allow emotion to unduly influence decision-making. Applies logic and reason to make decisions or when interacting with emotionally charged individuals. Recognizes the sources of stress and maintains appropriate levels of challenge to motivate self. Manages regular exercise, leisure activities, and time away. Stays focused on life priorities and values. **2. Expands knowledge of technical, technological and tactical areas:** Seeks knowledge of systems, equipment, capabilities, and situations, particularly information technology systems. Keeps informed about developments and policy changes inside and outside the organization. **3. Expands conceptual and interpersonal capabilities:** Understands the contribution of concentration, critical thinking, imagination, and problem solving in different task conditions. Learns new approaches to problem solving. Applies lessons learned. Filters unnecessary information efficiently. Reserves time for self-development, reflection, and personal growth. Considers possible motives behind conflicting information. **4. Analyzes and organizes information to create knowledge:** Reflects on prior learning; organizes insights for future application. Considers source, quality or relevance, and criticality of information to improve understanding. Identifies reliable resources for acquiring knowledge. Sets up systems of procedures to store knowledge for reuse. **5. Maintains relevant cultural awareness:** Learns about issues of language, values, customary behavior, ideas, beliefs, and patterns of thinking that influence others. Learns about results of previous encounters when culture plays a role in mission success. **6. Maintains relevant geopolitical awareness:** Learns about relevant societies experiencing unrest. Recognizes Army influences on unified action partners and enemies. Understands the factors influencing conflict and peacekeeping, peace enforcing and peacemaking missions. **7. Maintains self-awareness: employs self understanding and recognizes impact on others:** Evaluates one's strengths and weaknesses. Learns from mistakes to make corrections; learns from experience. Seeks feedback; determines areas in need of development. Determines personal goals and makes progress toward them. Develops capabilities where possible but accepts personal limitations. Seeks opportunities to use capabilities appropriately. Understands self-motivation under various task conditions. **Develops others. 1. Assesses developmental needs of others:** Determines strengths and weaknesses of subordinates under different conditions. Evaluates subordinates in a fair and consistent manner. Assesses tasks and subordinate motivation to consider methods of improving work assignments, when job enrichment would be useful, methods of cross-training on tasks and methods of accomplishing missions. Designs ways to challenge subordinates to improve weaknesses and sustain strengths. Encourages subordinates to improve processes. **2. Counsels, coaches and mentors:** Improves subordinate's understanding and proficiency. Uses experience and knowledge to improve future performance. Counsels, coaches and mentors subordinates, subordinate leaders, and others. **3. Facilitates ongoing development:** Maintains awareness of existing individual and organizational development programs and removes barriers to development. Supports opportunities for self-development. Arranges training opportunities to help subordinates improve self-awareness, confidence, and competence. Encourages subordinates to pursue institutional learning opportunities. Provide subordinates information about institutional training and career progression. Maintains resources related to development. **4. Builds team or group skills and processes:** Presents challenging assignments for team or group interaction. Provides resources and support for realistic, mission-oriented training. Sustains and improves the relationships among team or group members. Provides feedback on team processes.

Stewards of the profession. 1. Supports professional and personal growth: Supports developmental opportunities for subordinates such as PME attendance, key developmental assignments in other organizations, and broadening assignments. **2. Improves the organization:** Makes decisions and takes action to improve the organization beyond their tenure.

F. ACHIEVES: (Gets Results). 1. Prioritizes, organizes and coordinates taskings for teams or other organizations structures/groups: Ensures the course of action achieves the desired outcome through planning. Organizes groups and teams to accomplish work. Ensures all tasks can be executed in the time available and that tasks depending on other tasks are executed in the correct sequence. Limits over specification and micromanagement. **2. Identifies and accounts for capabilities and commitment to task:** Considers duty positions, capabilities, and developmental needs when assigning tasks. Conducts initial assessments to assume a new task or a new position. **3. Designates, clarifies, and deconflicts roles:** Establishes and employs procedures for monitoring, coordinating, and regulating subordinate's actions and activities. Mediates peer conflicts and disagreements. **4. Identifies, contends for, allocates and manages resources:** Tracks people and equipment. Allocates adequate time for task completion. Allocates time to prepare and conduct rehearsals. Continually seeks improvement in operating efficiency, resource conservation, and fiscal responsibility. Attracts, recognizes, and retains talent. **5. Removes work barriers:** Protects organization from unnecessary taskings and distractions. Recognizes and resolves scheduling conflicts. Overcomes obstacles preventing accomplishment of the mission. **6. Recognizes and rewards good performance:** Recognizes individual and team accomplishments; rewards appropriately. Credits subordinates for good performance; builds on successes. Explores reward systems and individual reward motivations. **7. Seeks, recognizes and takes advantage of opportunities to improve performance:** Asks incisive questions. Anticipates needs for actions; envisions ways to improve. Acts to improve the organization's collective performance. Recommends best methods to accomplish tasks; uses information and technology to improve individual and group effectiveness. Encourages staff to use creativity to solve problems. **8. Makes feedback part of work processes:** Gives and seeks accurate and timely feedback. Uses feedback to modify duties, tasks, procedures, requirements, and goals. Uses assessment techniques and evaluation tools (such as AARs) to identify lessons learned and facilitate consistent improvement. Determines the appropriate setting and timing for feedback. **9. Executes plans to accomplish the mission:** Schedules activities to meet commitments in critical performance areas. Notifies peers and subordinates in advance of required support. Keeps track of task assignments and suspense's; attends to details. Adjusts assignments, if necessary. **10. Identifies and adjusts to external influences on the mission and organization:** Gathers and analyzes relevant information about changing conditions. Determines causes, effects, and contributing factors of problems. Considers contingencies and their consequences. Makes necessary, on-the-spot adjustments.

PART VI RATER SELF DEVELOPMENT GOALS INSTRUCTIONS: These goals are beyond the current career progression that the officer is assigned. This area should focus on those branched detailed, functional designated, have completed branch qualification and anticipate broadening and advance civil schooling opportunities. The officer will also state self development objectives based on MSAF assessments (optional) or other identified areas required for development.

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